

ATTORNEY DOCKET NO.:  
069547.0171

PATENT APPLICATION  
10/694,872

1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Nigel J. Renton, et al.

Serial No.: 10/694,872

Filing Date: October 28, 2003

Group Art Unit: 3624

Examiner: Unknown

Title: *SYSTEM AND METHOD FOR MANAGING THE  
EXECUTION OF TRADES BETWEEN MARKET MAKERS*

**Mail Stop Amendment**

Commissioner of Patents

PO Box 1450

Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

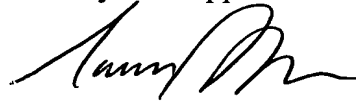
Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the U.S. Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailling** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
Attorneys for Applicants

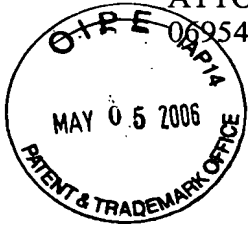


Samir A. Bhavsar  
Reg. No. 41,617

Date: May 5, 2006

Correspondence Address:

Customer No. **05073**



ATTORNEYS DOCKET

069547.0171

PATENT APPLICATION

10/694,872

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Nigel J. Renton, et al.  
Serial No.: 10/694,872  
Filing Date: October 28, 2003  
Examiner: Unknown  
Art Unit: 3624  
Title: *SYSTEM AND METHOD FOR MANAGING THE  
EXECUTION OF TRADES BETWEEN MARKET MAKERS*

**Mail Stop Amendment**  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that the attached Information Disclosure Statement (2 pages), Form PTO-1449 (1 page), with 3 attached references, Baker Botts return postcard (1 postcard), and this Certificate of Mailing (1 page) are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 5th day of May 2006 and is addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

*Willie Jiles*  
\_\_\_\_\_  
Willie Jiles

Express Mail Receipt  
No. **EV 733648619 US**

PTO-1449

Application No.  
10/694,872Applicant(s)  
Nigel J. Renton, et al.**Information Disclosure Citation  
in an Application**Docket Number  
069547.0171Group Art Unit  
3624Filing Date  
October 28, 2003**U.S. PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
A	5,809,483	09/15/1998	Broka, et al.	705	37	11/14/1997
B	5,890,138	03/30/1999	Godin, et al.	705	26	08/26/1996
C	6,216,114 B1	04/10/2001	Alaia, et al.	705	37	05/14/1999
D	6,499,108 B1	12/24/2002	Johnson	713	201	01/28/1999
E	6,598,026 B1	07/22/2003	Ojha, et al.	705	26	05/25/1999
F	2003/0083983 A1	05/01/2003	Fisher, et al.	705	37	12/10/2002
K	2003/0140005 A1	07/24/2003	Cole	705	40	01/18/2002
L	2004/0078317 A1	04/22/2004	Allen, et al.	705	37	02/19/2003
M	2004/0177024 A1	09/09/2004	Bok, et al.	705	37	03/03/2003
N	2005/0234806 A1	10/20/2005	Findlay, et al.	705	37	03/11/2005
O						
P						
Q						
R						
S						

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
T							
U							
V							
W							
X							

**NON-PATENT DOCUMENTS**

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
	Notification of Transmittal of The International Search Report, International Application No. PCT/US05/25929, 4 pages.	04/24/2006
	Written Opinion of the International Searching Authority, International Application No. PCT/US05/25929, 4 pages.	04/24/2006
	Patent Pending Application Serial No. 10/895,668, entitled "System and Method for Managing Trading Orders Received From Market Makers", by Nigel J. Renton, et al., attorney docket no. 069547.0215, 80 pages plus 5 pages of drawings.	filed 07/21/2004

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.